

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
-------	---	----	---

Complete if Known

Application Number	To be assigned
Filing Date	Herewith
First Named Inventor	David J. Waxman
Art Unit	To be assigned 1633
Examiner Name	To be assigned Quang Nguyen
Attorney Docket Number	701586-52522

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				
/QN/	B1	WO	98/46637	A2	10/22/1998	ARCH DEVELOPMENT CORPORATION et al.	

**Examiner
Signature**

/Quang Nguven/

Date
Considered

07/31/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.² Applicant's unique citation designation number (optional).² See Kinds Code of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Application Number	To be assigned 10/509533
				Filing Date	Herewith
				First Named Inventor	David J. Waxman
				Art Unit	To be assigned 1633
				Examiner Name	To be assigned Quang Nguyen
Sheet	1	of	1	Attorney Docket Number	701586-52522

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/QN/	C1	PAMELA S. SCHWARTZ ET AL., "Enhanced Bystander Cytotoxicity of P450 Gene-directed Enzyme Prodrug Therapy by Expression of the Antiapoptotic Factor p35," Cancer Research, p. 6928-6937, (December 1, 2002).	

Examiner Signature	/Quang Nguyen/	Date Considered	07/31/2007
--------------------	----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Approved for release through 07/31/2006. OMB 0651-0031

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449 PTO

(use as many sheets as necessary)

Sheet

1

of

5

Complete If Known

Application Number

10/509,533

Filing Date

March 25, 2003 (IA Date)

First Named Inventor

Waxman, et al

Art Unit

~~Unauthorized~~ 1633

Examiner Name

~~To be assigned~~ Quang Nguyen

Attorney Docket Number

701586-52522

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

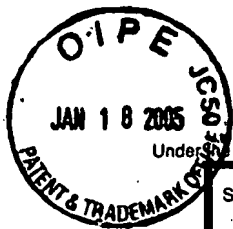
[illegible]

Examiner Signature	/Quang Nguyen/	Date Considered	07/31/2007
-----------------------	----------------	--------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04-³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08A/B 08-03)
Approved for release through 07/31/2006. OMB 0651-0031
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449 PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet **2** of **5**

Complete if Known

Application Number	10/509,533
Filing Date	March 25, 2003 (IA Date)
First Named Inventor	Waxman, et al
Art Unit	To be assigned 1633
Examiner Name	To be assigned Quang Nguyen
Attorney Docket Number	701586-52522

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
/QN/	c2	Ashkenazi et al., J Clin Invest. 104:155-162 (1999)	
	c3	Beltinger, C., et al., Proc Natl Acad Sci U.S.A. 96:8699-8704 (1999)	
	c4	Blattner et al., Mol Cell Biol. 19:3704-3713 (1999)	
	c5	Chen, L., et al., Hum Gene Ther. 6:1467-1476 (1995)	
	c6	Chen, L. and Waxman, D. J., Cancer Research 55:581-589 (1995)	
	c7	Chen, L. and Waxman, Biochem Pharmacol. 47:1079-1087 (1994)	
	c8	Ferri and Kroemer, Nat Cell Biol. 3:E255-263 (2001)	
	c9	Findley et al., Blood. 89:2986-2993 (1997)	
	c10	Freeman, S., et al., Cancer Res. 53:5274-5283 (1993)	
	c11	Friesen et al., Nat Med. 2:574-577 (1996)	
	c12	Fulda et al., Cancer Res. 58:4453-4460 (1998)	
	c13	Gagandeep, S., et al., Cancer Gene Ther. 3:83-88 (1996)	
	c14	Green DR Nature. 1998 Dec 17;396(6712):629-30	
/QN/	c15	Ichikawa et al., Cancer Res. 61:864-868 (2001)	

Examiner
Signature

/Quang Nguyen/

Date
Considered

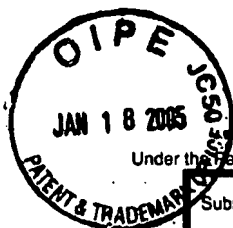
07/31/2007

*EXAMINER If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08A/B 08-03)
Approved for use through 07/31/2008. OMB 0651-0031
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449 PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/509,533
		Filing Date	March 25, 2003 (IA Date)
		First Named Inventor	Waxman, et al
		Art Unit	To be assigned 1633
		Examiner Name	To be assigned Quang Nguyen
		Attorney Docket Number	701586-52522
Sheet	3	of	5

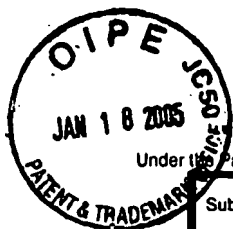
/QN/	C16	Kagawa et al., Cancer Res. 60:1157-1161 (2000)	
	C17	Kagawa et al., Cancer Res. 61:3330-3338 (2001)	
	C18	Klasa et al., Clin Cancer Res. 6:2492-2500 (2000)	
	C19	Lissy et al., Nature. 407:642-645 (2000)	
	C20	Marcelli et al., Cancer Res. 59:382-390 (1999)	
	C21	Meek, Oncogene. 18:7666-7675 (1999)	
	C22	Mesri et al., J Clin Invest. 108:981-990 (2001)	
	C23	Micheau et al., J Biol Chem. 274:7987-7992 (1999)	
	C24	Mow et al., Curr Opin Oncol. 13:453-462 (2001)	
	C25	Muller et al., J Clin Invest. 99:403-413 (1997)	
	C26	Oltvai et al., Cell. 74:609-619 (1993)	
	C27	Ozols et al., Biochem Pharmacol. 36:147-153 (1987)	
	C28	Perego et al., Cancer Res. 56:556-562 (1996)	
	C29	Petak and Houghton, Pathol Oncol Res. 7:95-106 (2001)	
	C30	Petak et al., Cancer Res. 60:2643-2650 (2000)	
/QN/	C31	Piche et al., Cancer Res. 58:2134-2140 (1998)	
Examiner Signature	/Quang Nguyen/		Date Considered
		07/31/2007	

*EXAMINER If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08A/B 08-03)
Approved through 07/31/2006. OMB 0651-0031
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449 PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/509,533
		Filing Date	March 25, 2003 (IA Date)
		First Named Inventor	Waxman, et al
		Art Unit	To be assigned 1633
		Examiner Name	To be assigned Quang Nguyen
Sheet	4	of	5
		Attorney Docket Number	701586-52522

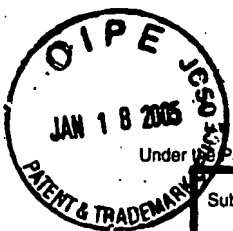
/QN/	C32	Pope, I. M., et al., Eur J Cancer 33:1005-1016 (1997)	
	C33	Reed JC J Natl Cancer Inst. 1999 Jul 7;91(13):1099-100	
	C34	Reed et al., Cancer Res. 50:6565-6570 (1990)	
	C35	Rich et al., Nature. 407:777-783 (2000)	
	C36	Rieger et al., FEBS Lett. 427:124-128 (1998)	
	C37	Schwartz and Waxman, Mol Pharmacol. 60:1268-1279 (2001)	
	C38	Seki et al., Cancer Chemother Pharmacol. 45:199-206 (2000)	
	C39	Sun et al., J Biol Chem. 274:5053-5060 (1999)	
	C40	Tillman et al., Clin Cancer Res. 5:425-430 (1999)	
	C41	Waters et al., J Clin Oncol. 18:1812-1823 (2000)	
	C42	Waxman et al., Drug Metab Rev. 31:503-522 (1999)	
	C43	Waxman, Cancer Res. 50:6449-6454 (1990)	
	C44	Wei, M. X., et al., Hum. Gene Ther. 5:969-978 (1994)	
	C45	Wu et al., Oncogene. 18:6411-6418 (1999)	
	C46	Yamabe et al., Gene Ther. 6:1952-1959 (1999)	
/QN/	C47	Ziegler et al., J Natl Cancer Inst. 89:1027-1036 (1997)	
Examiner Signature	/Quang Nguyen/		Date Considered
			07/31/2007

*EXAMINER if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08A/B 08-03)
Approved for use through 07/31/2006. OMB 0651-0031
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	10/509,533
				Filing Date	March 25, 2003 (IA Date)
				First Named Inventor	Waxman, et al
				Art Unit	To be assigned
				Examiner Name	To be assigned
Sheet	5	of	5	Attorney Docket Number	701586-52522

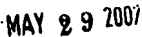
Examiner Signature	/Quang Nguyen/	Date Considered	07/31/2007
-----------------------	----------------	--------------------	------------

*EXAMINER if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/509,533
Filing Date	May 26, 2005
First Named Inventor	Waxman, David J.
Art Unit	1633
Examiner Name	Nguyen, Quang
Attorney Docket Number	701586-052522-US

Sheet	1	of	2
-------	---	----	---

U.S. PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

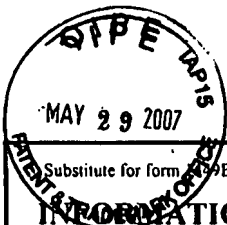
/Quang Nguyen/

Date
Considered

07/31/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.



Substitute for Form PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	10/509,533
				Filing Date	May 26, 2005
				First Named Inventor	Waxman, et al.
				Group Art Unit	1633
				Examiner Name	Nguyen, Quang
Sheet	1	of	1	Attorney Docket Number	701586-052522-US

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
/QN/	C2	LUO, et al., "Enhancement of Fas Ligand-Induced Inhibition of Neointimal Formation in Rabbit Femoral and Iliac Arteries by Coexpression of p35," <i>Human Gene Therapy</i> 12:2191-2202 (2001).		
	C3	SCHWARTZ, et al., "Enhanced Bystander Cytotoxicity of P450 Gene-directed Enzyme Prodrug Therapy by Expression of the Antiapoptotic Factor p35 ¹ ," <i>Cancer Research</i> 62, 6928-6937 (2002).		
	C4	WAXMAN, et al., "Harnessing Apoptosis for Improved Anticancer Gene Therapy," <i>Cancer Research</i> 63, 8563-8572 (2003).		
/QN/	C5	SCHWARTZ, et al., "Cyclophosphamide Induces Caspase 9-Dependent Apoptosis in 9L Tumor Cells," <i>Mol Pharmacol</i> 60:1268-1279 (2001).	Duplicate	

Examiner Signature	/Quang Nguyen/	Date Considered	07/31/2007
--------------------	----------------	-----------------	------------

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.